

28788

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/806,704
Filing Date	06/27/2001
First Named Inventor	DIETER PALME
Group Art Unit	2878
Examiner Name	Stephen K. Yam
Attorney <del>Docket</del> Number	7372 US

Total Number of Pages in This Submission **55**

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
  - ☐ Fee Attached
- ☒ Amendment / Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
**Attachments 1, 2, 3, & 4**  
**Return Post Card**

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Francis I. Gray, TEKTRONIX, INC.

Signature

Date

11/22/2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

11/22/2002

Typed or printed name

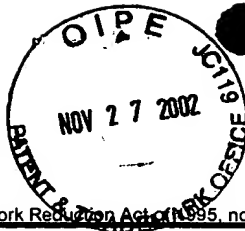
Pauline L. Bradley

Signature

Date

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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

370.00

## Complete if Known

Application Number	09/806,704
Filing Date	06/27/2001
First Named Inventor	DIETER PALME
Examiner Name	Stephen K. Yam
Group Art Unit	2878
Attorney Docket No.	7372 US

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

20-0352

Deposit  
Account  
Name

TEKTRONIX, INC.

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

Fee Paid

SUBTOTAL (1) (\$)

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
25	-20** = 5	18.00	90.00
2	-3** = 0		
Multiple Dependent		280.00	280.00

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

370.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for ex parte reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	400	216	200	Extension for reply within second month
117	920	217	460	Extension for reply within third month
118	1,440	218	720	Extension for reply within fourth month
128	1,960	228	980	Extension for reply within fifth month
119	320	219	160	Notice of Appeal
120	320	220	160	Filing a brief in support of an appeal
121	280	221	140	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,280	241	640	Petition to revive - unintentional
142	1,280	242	640	Utility issue fee (or reissue)
143	460	243	230	Design issue fee
144	620	244	310	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Processing fee under 37 CFR 1.17(q)
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))
179	740	279	370	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)

Francis I. Gray

Registration No.  
(Attorney/Agent)

27,788

Complete (if applicable)

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503-627-7261

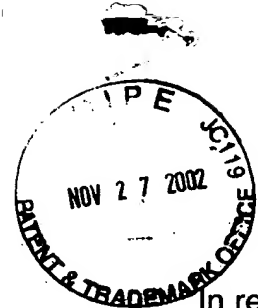
Signature

Date

11/22/2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **DIETER PALME and ADALBERT BANDEMER**

Serial No.: **09/806,704**

Art Unit: **2878**

Filed: **June 27, 2001**

Examiner: **Stephen K. Yam**

For: **SYSTEM AND METHOD FOR MONITORING THE PERFORMANCE OF DENSE WAVELENGTH DIVISION MULTIPLEXING OPTICAL COMMUNICATIONS SYSTEM**

November 19, 2002

Commissioner for Patents  
Washington, D.C. 20231

**AMENDMENT**

Dear Sir:

In response to the Office Action dated August 29, 2002 please amend the above-identified application as follows.

**In the Drawing**

Please replace Figs. 1-3 and 6-8 with new drawing Figs. 1-3 and 6-8 as shown in Attachment 1. The new drawing Figs. 1-3 and 6-8 include labels for the boxes as requested by the Examiner in Paragraph 1 of the Office Action and correct a numeric identifier by changing "30" to -32--.

**In the Specification**

Please replace the specification as marked up in Attachment 2 with the new, clean version provided as Attachment 3. The new specification corrects the Abstract of the Disclosure and provides the section headings, as requested by the Examiner in Paragraph 2 of the Office Action, as well as making minor editorial, grammatical and typographical corrections without adding any new matter.

11/29/2002 JBALINAN 00000040 200352 09806704

01 FC:1202 90.00 CH  
02 FC:1203 280.00 CH

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DEC 11 2002  
TECHNICAL CENTER 8800

#12/19/02  
Q. K. Yam